**NAVSEA SBIR/STTR PHASE II FULL PROPOSAL**

**Instructions and Proposal Template**

(Effective November 15, 2021)

This document provides information required for a firm to complete the Technical Volume of an SBIR/STTR Phase II Full Proposal for NAVSEA. The purpose of the SBIR/STTR Phase II Full Proposal is to provide the firm’s objectives, work plan, related research, key personnel, commercialization strategy, and transition plan, to allow for Phase II participation.

This document has two sections: Instructions and Proposal Template. The **Instructions** provide information required to prepare and submit the Phase II Full Proposal while the **Proposal Template** is the template the firm shall use to prepare their proposal. Do not include the **Instructions** or the bracketed [ ] guidance in the **Proposal Template** with the proposal.

**Instructions**

A. During the development of the firm’s Phase II Full Proposal, communication between the Government Technical Point of Contact (TPOC) and the firm is not limited so long as the SBIR/STTR Phase II Full Proposal is not being used to compete for Phase II source selections. NAVSEA expects that the use of Phase II Full Proposals for final competition for Phase II source selection will be infrequent.

B. The NAVSEA SBIR/STTR Phase II Full Proposal shall include all sections identified in the template and is limited by the page lengths indicated below:

|  |  |
| --- | --- |
| **Section Name** | **Not to Exceed Page Length** |
| Proposal Volumes: |  |
| Volume 1: Proposal Cover Sheet | As required by the DoD proposal submittal website |
| Volume 2: Technical Volume | NTE 20 pages |
| Resumes for Key Personnel | No more than 1 page per person and the resumes are included in the Technical Volume page count |
| Volume 3: Cost Volume | As required by the DoD proposal submittal website |
| Volume 4: Company Commercialization Report | As required by the DoD proposal submittal website |
| Volume 5: Supporting Documents | No page limit |
| 1. Cost Volume 2. Appropriate Letters of Endorsement | As identified on the Navy SBIR/STTR website |

C. Paper/Font Size. The proposal shall be on 8 ½ x 11 inch paper with 1 inch margins (including header and footer) and be written in Times New Roman 12 point font.

D. Header. Each page of the proposal and each attachment must have a header that includes the following information:

Phase I Contract Number: <Contract Number of the Phase I Award>

Topic Number: <topic number of the Phase I project>

Firm Name: <Firm’s Name>

E. File Format. The proposal and attachments shall be uploaded to the DoD proposal submittal website as a single Adobe pdf file.

F. Nondisclosure. Offerors that include data in their proposals that they do not want disclosed to the public for any purpose, or used by the Government except for evaluation purposes, shall:

(1) Mark the first page of the proposal with the following legend:

"This proposal includes data that shall not be disclosed outside the Government and shall not be duplicated, used, or disclosed-in whole or in part-for any purpose other than to evaluate this proposal. If, however, a contract is awarded to this offeror as a result of, or in connection with, the submission of this data, the Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting contract. This restriction does not limit the Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in pages [insert numbers or other identification of sheets]"; and

(2) Mark each sheet of restricted data with the following legend:

"Use or disclosure of data contained on this page is subject to the restriction on the first page of this proposal."

DON assumes no liability for disclosure or use of unmarked data and may use or disclose such data for any purpose.

G. Controlled Unclassified Information (CUI). CUI is information that requires safeguarding or dissemination controls pursuant to and consistent with applicable laws, regulations, or government-wide policies. Refer to the **CUI Marking Guidance** (located at [https://navysbir.com/links\_forms.htm#cui](https://no-click.mil/?https://navysbir.com/links_forms.htm#cui)) to determine applicability. CUI markings have been included in this template for ease of use; delete CUI markings if not applicable.

H. Restrictive notices notwithstanding, proposals and final reports submitted through the DON electronic submission website may be handled, for administrative purposes only, by support contractors. All support contractors are bound by appropriate nondisclosure agreements.

I. The NAVSEA SBIR/STTR Phase II Full Proposal is required to have at least a base period but may also include separately priced option periods as identified in the Request for Proposal (RFP). Not to exceed (NTE) base and option periods of performance (POPs) and costs are defined in the RFP.

J. Promotional and non-project related discussion is discouraged and additional information provided via Universal Resource Locator (URL) links or on computer disks, CDs, DVDs, video tapes or any other medium will not be accepted or considered in the proposal evaluation. Technical reviewers will base their conclusions only on information contained in the proposal.

K. Submission.

(1) The NAVSEA SBIR/STTR Phase II Full Proposal documents must be submitted in accordance with the requirements and timelines/deadlines listed in the RFP.

(2) The NAVSEA SBIR/STTR Phase II Full Proposal is submitted through the DoD website at <https://www.dodsbirsttr.mil/submissions/login>.

**Note:**

Do not include these **Instructions** with the proposal. Use the **Proposal Template** following this page to complete the NAVSEA SBIR/STTR Phase II Full Proposal but do not include the bracketed [ ] guidance provided in each section.

**[Title Page]**

[The NAVSEA Phase II Full Proposal shall have a Title Page that includes the following information in the format shown:]

**<Firm Name>**

<Address 1>

<Address 2>

<City, State, and Zip>

<Phone>, <Email>

**Corporate Official:**

<Name>

<Title>

<Phone>, <Email>

**Prepared Date:** <Proposal Preparation Date>

**Topic Title:** <SBIR/STTR Topic Title>

**Contract Information:**

Topic No.: <SBIR/STTR Topic No.>

Proposed Period of Performance: <Base plus Options (if proposed)>

Estimated Base Value: <$Base>

Option 1 Value (if proposed): <$Option 1>

Option 2 Value (if proposed): <$Option 2>

**Principal Investigator (PI):**

<Name>

<Phone>, <Email>

**Proposed Subcontractors/Consultants:** <Name of Proposed Subcontractors/Consultants**>**

**SYSCOM:** <Name ofSYSCOM for this proposal>

**DON Phase I Technical Point of Contact:**

<Name>

<Phone>, <Email>

**Nondisclosure Statement:** <if the firm intends to use a nondisclosure statement (see Instructions, F), add it here>

Controlled by: DON

Controlled by: <SYSCOM> SBIR PMO

CUI Category: <List CUI Category(ies)>

Distribution/Dissemination Control: DISTRO B

POC: <TPOC Name or COR, Phone or email>

# Description of Proposed Phase II Technical Effort

[Address the following sections in this proposal, paying particular attention to the description of the proposed Phase II work plan.]

## Phase II Technical Objectives

[Enumerate the specific objectives of the proposed Phase II work. Explain how these objectives are designed to solve the research problem addressed in the topic and represent advancement over the work completed in Phase I. Clearly distinguish between the objectives of the Phase II base period and those of any Phase II option(s).]

## Phase II Work Plan

[This section should comprise the major portion of the technical proposal. Include a proposed statement of work (SOW) that clearly describes proposed tasks and deliverables for the base period and any option(s).

The proposed SOW should describe, in chronological order, major tasks to be performed. Each task description should include an explanation of the work to be performed; the expected product of the task (report, hardware, software, drawings, etc.); the roles (if any) of subcontractors and consultants; and the use of materials, software, special equipment, special tooling, etc. in the performance of the task.

Technical "milestones" should be scheduled to provide the government insight into expected progress and to consider the exercise of any negotiated options.]

## Related Work

[This section should demonstrate the offeror's awareness of state-of-the art and relevant concurrent efforts. Describe significant activities; including any conducted by the Principal Investigator (PI), the proposing firm, consultants, and others that demonstrate the firm's awareness of state of the art and relevant concurrent efforts. Describe how these activities relate to the proposed effort.]

## Facilities and Equipment

[Describe available instrumentation and physical facilities necessary to carry out the Phase II effort. Justify equipment purchases in this section and include detailed pricing information in the cost volume. State whether or not the facilities where the proposed work will be performed meet environmental laws and regulations of federal, state (name), and local Governments for, but not limited to, the following groupings: airborne emissions, waterborne effluents, external radiation levels, outdoor noise, solid and bulk waste disposal practices, and handling and storage of toxic and hazardous materials.]

## Discretionary Technical and Business Assistance

[The SBIR and STTR Policy Directive section 9(b) allows the DON to provide discretionary Technical and Business Assistance (TABA) (formerly referred to as DTA) to its awardees. The purpose of TABA is to assist awardees in making better technical decisions on SBIR/STTR projects; solving technical problems that arise during SBIR/STTR projects; minimizing technical risks associated with SBIR/STTR projects; and commercializing the SBIR/STTR product or process, including intellectual property protections. Firms may request to contract these services themselves through one or more TABA providers in an amount not to exceed the following values. The Phase II TABA amount is up to $25,000 per award. The TABA amount, of up to $25,000, is to be included as part of the award amount and is limited by the established award values for Phase II (i.e. within the $1,700,000 limit). The amount proposed for TABA cannot include any profit/fee by the SBIR/STTR awardee and must be inclusive of all applicable indirect costs. A Phase II project may receive up to an additional $25,000 for TABA as part of one additional (sequential) Phase II award under the project for a total TABA award of up to $50,000 per project.

Approval of direct funding for TABA will be evaluated by the DON SBIR/STTR Program Office. A detailed request for TABA must include:

* TABA provider(s) (firm name)
* TABA provider(s) point of contact, email address, and phone number
* An explanation of why the TABA provider(s) is uniquely qualified to provide the service
* Tasks the TABA provider(s) will perform
* Total TABA provider(s) cost, number of hours, and labor rates (average/blended rate is acceptable)

TABA must NOT:

* Be subject to any profit or fee by the SBIR applicant
* Propose a TABA provider that is the SBIR applicant
* Propose a TABA provider that is an affiliate of the SBIR applicant
* Propose a TABA provider that is an investor of the SBIR applicant
* Propose a TABA provider that is a subcontractor or consultant of the requesting firm otherwise required as part of the paid portion of the research effort (e.g., research partner, consultant, tester, or administrative service provider)

TABA must be included on the TABA line in the Cost Volume (Volume 3) in the DON Phase II Cost Volume. The detailed request for TABA (as specified above) must be included as a note in the Phase II Cost Volume and be specifically identified as “Discretionary Technical and Business Assistance”.

TABA may be proposed in the Base and/or Option periods in Phase II but must NOT exceed a total of $25,000 per award, nor exceed $50,000 per Phase II project.]

# Personnel

## Key Personnel

[Use the table below to identify the Principal Investigator (PI), co-Principal Investigators (Co-PI), and any key personnel, including direct employees, subcontractors or consultants, who will be involved in the Phase II effort. Please indicate whether proposed personnel are foreign nationals or not. Show the role/title; level of involvement; and the prime, subcontractor, or consultant status of proposed personnel.]

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **KEY PERSONNEL SUMMARY** | | | | |
| **Name** | **Role/Title** | **Foreign National**  **(Y/N)** | **Prime, Subcontractor or Consultant** | **Level of Involvement for Phase II**  **(% of Time)** |
| *Example: John Smith* | *Example: Principal Investigator* | *Example: N* | *Example: Prime* | *Example: 60%* |
|  |  |  |  |  |
|  |  |  |  |  |

## Foreign Nationals

[For all personnel marked as “Yes” in Foreign National column above, please complete the table below.]

|  |  |  |
| --- | --- | --- |
| **FOREIGN CITIZEN DETAILS** | | |
| **Name** | **Country of Origin** | **Type of Visa or Work Permit** |
| *Example: Jane Smith* | *Example: Spain* | *Example: Permanent Resident* |
|  |  |  |
|  |  |  |

[Identify any foreign national expected to be involved on the Phase II work as a direct employee, subcontractor, or consultant. For these individuals, please specify their country of origin, the type of visa or work permit under which they are performing and an explanation of their anticipated level of involvement on this project. Firms should report any and all individuals expected to be involved on this project that are considered foreign nationals as defined in the DoD SBIR/STTR BAA. You may be asked to provide additional information during negotiations in order to verify the foreign citizen’s eligibility to participate on a SBIR/STTR contract. Supplemental information provided in response to this paragraph will be protected in accordance with the Privacy Act (5 U.S.C. 552a), if applicable, and the Freedom of Information Act (5 U.S.C. 552(b)(6)).]

[RESTRICTION ON PERFORMANCE BY FOREIGN NATIONALS (i.e., those holding non-U.S. Passports): If the topic for the Phase II work is “ITAR Restricted,” the information and materials provided pursuant to or resulting from this topic are restricted under the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120 - 130, which controls the export of defense-related material and services, including the export of sensitive technical data. Foreign Nationals may perform work under an award resulting from this topic only if they hold a “Permanent Resident Card,” or are designated as “Protected Individuals” as defined by 8 U.S.C. 1324b(a)(3). NAVSEA will reject Phase II Full Proposals proposing the use of foreign citizens who are not in one of the two categories and will terminate Phase II contracts if foreign citizens who are not in one of the two categories are used.]

## Subcontractors and Consultants

[List all subcontractors and consultants, the task(s) they will be performing. Involvement of a university or other subcontractors or consultants in the project may be appropriate. If such involvement is intended, it should be identified and included in the cost proposal. For SBIR proposals, a minimum of fifty-one percent of the research and analytical work in Phase II, as measured by direct and indirect costs, must be carried out by the proposing firm. For STTR proposals, a minimum of 40% of the work must be carried out by the small business concern and a minimum of 30% of the effort performed by the research institution, as defined in the DoD STTR BAA. SBIR/STTR efforts may include subcontracts with Federal Laboratories and Federally Funded Research and Development Centers (FFRDCs), however, proposers must certify their use of such facilities on the Cover Sheet of the proposal.]

|  |  |
| --- | --- |
| **Subcontractor/Consultant Name** | **Task** |
|  |  |
|  |  |
|  |  |

[Describe the subcontractor and consultant qualifications to perform the identified tasks in this section.]

## Resumes for Key Personnel

[Provide a resume containing the following information for each PI and key personnel on the project. Resumes are limited to one page per person in the following format.]

Name: <First and Last Name>

Role/Title: <Role/Title for the Phase II Effort>

Education:

<School, Degree, Year>

Relevant Experience:

<A concise description of the investigator’s relevant technical experience and its application to this topic>

Relevant Awards:

<List any awards received for work related to this topic>

Relevant Publications:

<List any publications relevant to this topic>

[Repeat this format as necessary to address the qualifications of up to a total of five (5) key personnel]

# Commercialization

## Commercialization Strategy

[At a minimum, your commercialization strategy must address the following five questions:

(1) What is the first product that this technology will go into?

(2) Who will be the customers, and what is the estimated market size?

(3) How much money will be needed to bring the technology to market, and how will that money be raised?

(4) Does the company contain marketing expertise and, if not, how will that expertise be brought into the company?

(5) Who are the proposing firm’s competitors, and what is the price and/or quality advantage over those competitors?

The commercialization strategy must also include a schedule showing the anticipated quantitative commercialization results from the Phase II project at one year after the start of Phase II, at the completion of Phase II, and after the completion of Phase II (i.e., amount of additional investment, sales revenue, etc.).]

## Transition Plan Summary

[Briefly describe the proposed business strategy for transitioning from Phase II through final development to Phase III and into acquisition process and the expected Phase II technology, product, or service to be transitioned. The transition plan should be updated as Phase II work progresses and will be reviewed by the appropriate Subject Matter Experts and SBIR/STTR Program Managers as a factor in continuing base efforts and exercising option(s).

Identify the customer and the requirements for this technology. Questions to consider in your transition plan are:

1. Who is the DON customer(s) for this project? Provide specific DON/DoD platforms or programs and include points of contact if you have them.
2. What are the DON-defined requirements being addressed and the quantified operational gaps?
3. What approach does the DON currently use to address this requirement and what benefit does your technology have over other approaches?
4. What type of tests and demonstrations will be required before the technology will be approved for use on these platforms or programs?]

# Prior, Current, or Pending Support of Similar Proposals or Awards

[If a proposal submitted in response to this BAA is substantially the same as another proposal that was funded, is now being funded, or is pending with another Federal Agency or the same DoD Component, you must reveal this on the Proposal Cover Sheet and provide the following information:

(a) Name and address of the Federal Agency(s) or DoD Component to which a proposal was submitted, will be submitted, or from which an award is expected or has been received.

(b) Date of proposal submission or date of award.

(c) Title of proposal.

(d) Name and title of principal investigator for each proposal submitted or award received.

(e) Title, number, and date of solicitation(s)/BAAs under which the proposal was submitted, will be submitted, or under which award is expected or has been received.

(f) If award was received, state contract number.

(g) Specify the applicable topics for each SBIR/STTR proposal submitted or award received.

Note: If this does not apply, state in the proposal "No prior, current, or pending support for proposed work."]